

2874
Attorney Docket No. 51949 (ACT-162)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Dan A. Steinberg
U.S.S.N.: 09/966,973 Art Unit: 2874
FILED: September 28, 2001
FOR: OPTICAL DEVICE PACKAGE

CERTIFICATE OF MAILING

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By: Deanna M. Rivernider
Deanna M. Rivernider

SUPPLEMENTAL
INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

05/12/2004 NROCHA1 00000055 09966973

01 FC:1806

180.00 OP

Dear Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98, applicant(s) hereby submit(s) an Information Disclosure Statement for consideration by the Examiner.

I. LIST OF PATENTS, PUBLICATIONS OR OTHER INFORMATION

The patents, publications or other information submitted for consideration by the Examiner are listed on the PTO-1449 form, attached hereto. The documents submitted were not previously cited.

II. COPIES

Submitted herewith is a legible copy of (i) each U.S and foreign patent or English abstract of foreign patent; (ii) each publication or that portion which caused it to be listed; and (iii) all other information or that portion which caused it to be listed.

III. CONCISE EXPLANATION OF THE RELEVANCE

All of the patents, publications or other information are in the English language or were cited in an English language Search Report, a copy of which is attached hereto (concise explanation not required).

FEES

IV. THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(b)

(check one box)

- a. ☐ within three months of the filing date of a national application (37 C.F.R. § 1.97(b) (1)). No fee or certification is required.
- b. ☐ within three months of the date of entry of the national stage as set forth in § 1.491 in an international application (37 C.F.R. § 1.97(b) (2)). No fee or certification is required.
- c. ☐ before the mailing date of a first Action on the merits (37 C.F.R. § 1.97(b) (3)). No fee or certification is required. In the event that a first Office Action on the merits has been issued, please consider this IDS under 37 C.F.R. § 1.97(c) and see the certification under 37 C.F.R. § 1.97(e) below, or, if no certification has been made, charge our deposit account a fee in the amount of \$240.00 as required by 37 C.F.R. § 1.17(p).

V. THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(c):

(check one box)

before the mailing date of a Final Office Action under 37 C.F.R. § 1.113 (See 37 C.F.R. § 1.97(c) (1)) or before the mailing date of a Notice of Allowance under 37 C.F.R. § 1.311 (See 37 C.F.R. § 1.97(c) (2)).

- a. ☒ No certification; therefore, a fee in the amount of \$180.00 is required by 37 C.F.R. . § 1.17(p).
or
- b. ☐ See the certification below. No fee is required.

VI. CERTIFICATION UNDER 37 C.F.R. § 1.97(e) (check only one box)

The undersigned hereby certifies that

- a. ☐ each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS; or
- b. ☐ no item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application or, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.

- c. ☐ Some of the items of information were cited in a communication from a foreign Patent Office. As to this information, the undersigned certifies that each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS. As to the remaining information, the undersigned hereby certifies that no item of this remaining information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application or, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.



Enclosed please find a check in the amount of \$ 180.00 for the above indicated fee.



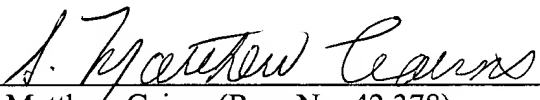
Please charge Deposit Account No. 04-1105 in the amount of \$180.00 for the above-indicated fee. A triplicate copy of this paper is attached.



No fee is required.

If the Examiner has any questions concerning this IDS, he/she is requested to contact the undersigned. If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule (with a petition, if necessary) and charge the appropriate fee to Deposit Account No. 04-1105.

Respectfully submitted,


S. Matthew Cairns (Reg. No. 42,378)
EDWARDS & ANGELL, LLP
P.O. Box 55874
Boston, MA 02205
(508) 229-7545



Sheet 1 of 1

FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT					ATTY DOCKET NO.		SERIAL NO.	
					APPLICANT(S):			
					FILING DATE:		ART UNIT:	
UNITED STATES PATENT DOCUMENTS								
EXAM. INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FIL. DATE IF APPR	
FOREIGN PATENT DOCUMENTS								
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRAN YES/NO	
OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)								
Examiner:					Date:			



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LIST OF ART CITED BY APPLICANT

(Use several sheets if necessary)

Atty Docket No. 51949 (ACT-162)	Serial No. 09/966,973
Applicant Dan A. STEINBERG	
Filing Date 09/28/2001	Group 2874

U.S. Patent Documents

EXAMINER INITIALS		DOCUMENT NUMBER	DATE	NAME	Class/Subclass	FILING DATE IF APPROPRIATE
	AA	2001/0022382	09/20/2001	Shook		
	AB	2002/0090749	07/11/2002	Simmons		
	AC	2002/0113296	08/22/2002	Cho et al.		
	AD	2003/0071283	04/17/2003	Heschel		
	AE	2003/0095759	05/22/2003	Dautartas et al.		
	AF	2003/0123816	07/03/2003	Steinberg et al.		
	AG	2004/0012083	01/22/2004	Farrell et al.		
	AH	3,404,215	10/01/1968	Burks et al.		
	AI	3,768,991	10/30/1973	Rogers		
	AJ	3,874,549	04/01/1975	Hascoe		
	AK	4,038,157	07/26/1997	Kim et al.		

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	Class/Subclass	Translation Yes/No
	AL					
	AM					
	AN					
	AO					
	AP					

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

	AQ	
	AR	
	AS	

Examiner

Date Considered

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U.S. Patent Documents

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	AT	4,065,203	12/27/1977	Goell et al.		
	AU	4,199,222	04/22/1980	Ikushima et al.		
	AV	4,270,134	05/26/1981	Takeda et al.		
	AW	4,791,075	12/13/1988	Lin		
	AX	4,802,952	02/07/1989	Kobori et al.		
	AY	4,818,058	04/04/1989	Bonanni		
	AZ	4,826,272	05/02/1989	Pimpinella et al.		
	BA	4,907,065	03/06/1990	Sahakian		
	BB	5,323,051	06/21/1994	Adams et al.		
	BC	5,448,014	09/05/1995	Kong et al.		
	BD	5,454,055	09/26/1995	Kragl et al.		

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	Class/Subclass	Translation Yes/No
	BE					
	BF					
	BG					
	BH					
	BI					

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	BJ	
	BK	
	BL	

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U.S. Patent Documents

EXAMINER INITIALS		DOCUMENT NUMBER	DATE	NAME	Class/Subclass	FILING DATE IF APPROPRIATE
	BM	5,475,778	12/12/1995	Webb		
	BN	5,497,027	03/05/1996	Crafts		
	BO	5,504,372	04/02/1996	Braden et al.		
	BP	5,550,398	08/27/1996	Kocian et al.		
	BQ	5,557,695	09/17/1996	Yamane et al.		
	BR	5,562,837	10/08/1996	De Givry		
	BS	5,604,160	02/18/1997	Warfield		
	BT	5,625,733	04/29/1997	Frigo et al.		
	BU	5,631,502	05/20/1997	Shimada		
	BV	5,635,761	06/03/1997	Cao et al.		
	BW	5,656,552	08/12/1997	Hudak et al.		

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	Class/Subclass	Translation Yes/No
	BX					
	BY					
	BZ					
	CA					
	CB					

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	CC	
	CD	
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U.S. Patent Documents

EXAMINER INITIALS		DOCUMENT NUMBER	DATE	NAME	Class/Subclass	FILING DATE IF APPROPRIATE
	CF	5,699,073	12/16/1997	Lebby et al.		
	CG	5,747,870	05/05/1998	Pedder		
	CH	5,774,614	06/30/1998	Gilliand et al.		
	CI	5,784,780	07/28/1998	Loo		
	CJ	5,798,557	08/25/1998	Salatino et al.		
	CK	5,812,571	09/22/1998	Peters		
	CL	5,818,404	10/06/1998	Lebby et al.		
	CM	5,915,168	06/22/1999	Salatino et al.		
	CN	5,917,976	06/29/1999	Yamaguchi		
	CO	5,933,558	08/03/1999	Sauvageau et al.		
	CP	5,966,488	10/12/1999	Miura et al.		

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	Class/Subclass	Translation Yes/No
	CQ					
	CR					
	CS					
	CT					
	CU					

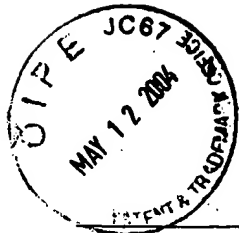
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	CV	
	CW	
	CX	

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	CY	6,056,448	05/02/2000	Sauter et al.		
	CZ	6,061,228	05/09/2000	Palmer et al.		
	DA	6,106,735	08/22/2000	Kurle et al.		
	DB	6,130,979	10/10/2000	Isaksson et al.		
	DC	6,165,885	12/26/2000	Gaynes et al.		
	DD	6,207,950	03/27/2001	Verdiell		
	DE	6,228,675	05/08/2001	Ruby et al.		
	DF	6,318,909	11/20/2001	Giboney et al.		
	DG	6,318,910	11/20/2001	Higashikawa		
	DH	6,376,280	04/23/2002	Ruby et al.		
	DI	6,377,742	04/23/2002	Go		

FOREIGN PATENT DOCUMENTS

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	DJ					
	DK					
	DL					
	DM					
	DN					

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	DP	
	DQ	

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	DR	6,441,481	08/27/2002	Karpman		
	DS	6,452,238	09/17/2002	Orcutt et al.		
	DT	6,611,001	08/26/2003	Cappuzzo et al.		
	DU	6,635,866	10/21/2003	Chan et al.		
	DV	6,680,491	01/20/2004	Nakanishi et al.		
	DW					
	DX					
	DY					
	DZ					
	EA					
	EB					

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	EC					
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	EE					
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